

**Lexington-Fayette Urban County Government**  
**Division of Grants and Special Programs**



Lexington-Fayette County Government Center  
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*Horse Capital of the World*

# **Lexington Neighborhoods**



## **NEIGHBORHOOD ACTION MATCH**

**Program Description  
and  
Application**

**August 2013**

# **NEIGHBORHOOD ACTION MATCH PROGRAM (2013)**

## **INTRODUCTION**

The Lexington-Fayette Urban County Government established a Neighborhood Action Match Program (NAMP) to support eligible neighborhood associations in carrying out identified neighborhood development activities using the cooperative efforts and voluntary contributions of neighborhood individuals, businesses, schools and other organizations.

This document: (1) Notifies the public of the availability of funds; (2) identifies program objectives; (3) defines eligible neighborhood associations; (4) sets forth eligible neighborhood action activities; (5) sets forth requirements for applications for funds; (6) identifies selection criteria for award of funds; (7) describes the method of allocation and distribution of funds; and (8) specifies reporting requirements.

## **NOTICE OF AVAILABILITY OF FUNDS**

The Lexington-Fayette Urban County Government budget includes funds for the Neighborhood Action Match Program. The funds are to match voluntary contributions raised by neighborhood associations, from individuals, businesses, and other organizations located within their neighborhoods over a one year grant period. However, if the association is unable to complete the project within the contract year, implementation of the neighborhood activities, may be programmed over a period of two years, upon written request.

Neighborhood Associations which have not made substantial progress on previously approved projects will not be considered for a new round of funding. In addition, Neighborhood Associations must be the implementing agency and not simply act as a conduit for other organizations to obtain funds.

Following a public announcement and the notification to neighborhood associations, applications will be accepted from eligible neighborhood associations. The NAMP awards are expected to be announced by December 31, 2013.

## **PROGRAM OBJECTIVES**

The Neighborhood Action Match Program is designed as an incentive for neighborhood associations to select and plan neighborhood development activities, to secure and organize the resources necessary to carry out the activities and to manage the implementation of those activities. The program has the following objectives, not all of which would be operative in any given instance:

- To be a catalyst for neighborhood associations to establish neighborhood linkages to support their programs.
- To provide neighborhood associations with the opportunities to directly affect the quality of life in their neighborhoods.

- To provide inexperienced neighborhood associations with opportunities to gain experience in organizing and managing projects.
- To expand the ability of experienced neighborhood associations to secure and manage the resources necessary to directly impact development in their neighborhoods.

## **ELIGIBLE NEIGHBORHOOD ASSOCIATIONS**

An eligible neighborhood association must: (1) be established and in operation as a private voluntary, non-profit corporation under the laws of the Commonwealth of Kentucky at the time of application and; (2) have a complete slate of elected officers and a governing body composed of at least sixty (60) percent of neighborhood residents at the time of application.

## **ELIGIBLE NEIGHBORHOOD ACTION MATCH ACTIVITIES**

Funds may be used by eligible neighborhood associations to design or carry out the following activities:

- Activities of a physical improvement nature for public or community property, other than those activities noted below as ineligible. Eligible activities include such projects as the planting of street trees (includes public right of way area between sidewalk and street, but **not in private yards**), sidewalk repair (**excluding sidewalks adjacent to business or personal property**), public park land improvements, installation of playground equipment, or other improvement projects. The improvements must be open and available to the public and benefit the whole neighborhood.
- Activities designed to develop new housing or to rehabilitate existing housing within the neighborhood, provided that no such activities will be considered which would cause, either directly or indirectly, the displacement of any individual, family or business. In addition, if as a result of undertaking an activity within this category, a neighborhood association realizes a return on investment, the return may be retained by the neighborhood association provided it is used for further neighborhood development activities which qualify under this program (See Reporting Requirements below).
- Activities necessary to plan, promote, or finance voluntary general clean up and neighborhood improvement efforts, such as on going street and alley clean up programs, removing abandoned cars, and demolishing abandoned buildings.
- Activities necessary to plan and promote re-use of vacant buildings in the neighborhood.
- Activities designed to facilitate the establishment or expansion of businesses within the neighborhood, other than those activities noted below as ineligible.

- Activities to enhance the beauty of neighborhood streets by removing dead or diseased trees and the implementation of a regular pruning regimen as long as pruning activities do not exceed once every 3 years.

## **INELIGIBLE NEIGHBORHOOD ACTION MATCH ACTIVITIES**

The following activities are not eligible for support through the Neighborhood Action Match Program:

- Program operation activities, such as day care, employment services, recreation programs, and other such programs.
- Routine activities.
- Activities proposing the use of labor and materials provided by employees of the Lexington-Fayette Urban County Government, other than support normally and routinely provided to residents of Lexington-Fayette County.
- Construction financing, capital financing, or operational financing, of businesses in the neighborhood or of businesses wishing to become established within the neighborhood.
- Activities involving compensation to residents of the neighborhood or to individuals doing business in the neighborhood for any work associated with this program or with other neighborhood development activities, unless such work is secured through a competitive bidding process.
- Acquisition of small portable or movable equipment/appliances as opposed to permanent fixtures on community or public property.
- Operational expenses of the neighborhood association not directly and exclusively related to the implementation of activities approved in a grant award under this program, except for a one-time grant, not to exceed \$1,000.00, for initial operating expenses of newly formed neighborhood associations.
- Plans/studies/feasibility reports.

## REQUIREMENTS FOR APPLICATION

The application and accompanying instructions may be obtained from the Division of Grants and Special Programs or downloaded from the government website, [www.lexingtonky.gov/grants](http://www.lexingtonky.gov/grants). **The application form provided must be used.** Neighborhood associations must submit the completed application to the Division of Grants and Special Programs within the time prescribed. **(No emails or faxes.)** **Late applications will not be considered for funding.** Each application must contain the following:

1. Neighborhood Association.
  - a. Name
  - b. Contact Person/Title
  - c. Address
  - d. Phone Number
  - e. Email Address (if available)
2. Amount of Funds Needed for Project (**These amounts must be the same as Item 6 totals on Page 2 of application. -ROUND TO THE NEAREST DOLLAR.**)
  - a. Lexington-Fayette Urban County Government
  - b. Neighborhood Funds (Match from cash, in-kind service, or donated materials)
  - c. Total
3. Projected Starting Date.
4. Expected Date of Completion.
5. Project Narrative.

A proposal narrative statement defining (1) what neighborhood activities are proposed for funding and, if more than one activity is proposed, the priority of the activities; (2) how neighborhood matching funds, in-kind services, and/or in-kind supplies and materials have been raised or will be raised. Also, **attach color pictures of the proposed project area. ("Before" color pictures are required to be included with this application and "After" color pictures are required when projects are completed.)**

6. Project Budget and Budget Narrative. (**These amounts must be the same as Item 2 totals on Page 1 of application. -ROUND TO THE NEAREST DOLLAR.**)

This information must include the listing of all sources of funds, materials or labor; as well as a listing of all uses of the same by specific project element. This information is to be displayed on the chart provided at Part 6 of the application. **Written estimates from the vendors must be attached for all goods and services to be purchased for this project.** The project budget cannot include expenses incurred prior to the award of the grant by the Urban County Council. The Neighborhood Action Match Program will not reimburse these expenses. All requests for funds should be rounded to the nearest dollar.

The Cash Match is the actual dollars provided by the Neighborhood Association. **Funding from other government sources may not be used as cash match share.**

In-kind services and donated materials match - Include specific information on the value of in-kind services and/or in-kind supplies and materials. In-kind services and donated materials must be directly related to project activities and performed or donated over the contract duration. Documentation from the donors, such as donation letters, written estimates, etc., must be provided on the value of in-kind supplies and materials. With regard to in-kind services, if the services are those of a specialty nature (plumber, electrician, etc.) or professional (architect, engineer, attorney, etc.) nature, the generally accepted market rate shall be used without consideration given to the firm or company position of the individual. If the services are more physical in nature, (general clean-up, planting shrubs, mowing, etc.), the value given to the labor shall be the same as the federal minimum wage in effect at the time contracts are authorized by the Urban County Council.

**The total match provided by the neighborhood must equal 100% or more of the LFUCG share.**

7. Project Management Plan.

Describe the process and time schedule for implementation of the activity.

The neighborhood association is responsible for selection, management and payment of all contractors and suppliers. **The Lexington-Fayette Urban County Government does not recommend nor endorse contractors and suppliers of goods and services.**

The neighborhood association must secure all necessary permits, authorizations, inspections and approvals for work and services. **NOTE: If your proposed project is within parks and public lands, you must contact Chris Cooperrider at the LFUCG Division of Parks and Recreation (288-2963) for project approval, and submit with the NAMP application.**

8. Neighborhood Participation.

A description of the process which was followed in deciding what activities should be submitted for funding, i.e. number of meetings, who was invited to meetings, number attending meetings, etc.; a description of the process which will be used if a grant is awarded, to communicate with the neighborhood throughout the time of implementation of the activities. Attach meeting minutes regarding decision on activity for NAMP funding.

9. Financial Accountability.

Evidence of financial accountability, i.e. treasurer is bonded or will be bonded, location of checking accounts, copy of bank statement, etc.

10. Project Experience.

Identification of any prior or current neighborhood projects undertaken by the neighborhood association. Please indicate status of any prior Neighborhood Action Match projects i.e., whether complete or still underway.

11. Community Objectives.

Brief description of how the planned activity will meet one or more of the Action Match Program Objectives described above. (See Pages 1 & 2.)

12. Supplemental Material.

- a. Copy of, Kentucky Secretary of State General information showing your association is "Active" and "In Good Standing" **and** a copy of the annual report. These two documents may be printed from the Kentucky Secretary of State website: <http://www.sos.ky.gov> (Click on "Online Services", then "Organization Search", Next, click in yellow box and type in the organization name. Click on your association name, print that page and then move cursor down on page and click on "Annual Report" for the current year and print the report.
- b. Meeting minutes documenting the election of current officers.
- c. Names and addresses of all current association elected officials and members of the governing body.

13. Other Pertinent Information.

Describe any unusual features of the project not elsewhere described in this application.

14. Signature of Authorized Official

The application must be submitted with an original signature (not copied or stamped).

## SELECTION CRITERIA FOR AWARD OF FUNDS

Applications for each funding cycle will be evaluated by a Review Board appointed by the Mayor. The Review Board will be composed of the Division of Grants and Special Programs Director, two citizens, one Councilperson, and a representative from the Mayor's Office. The Mayor will designate the Chairman of the Review Board.

Applications and the activities proposed will be evaluated and recommendations for grant awards will be made to the Mayor and Urban County Council on the basis of consideration of the following outlined factors:

1. Neighborhood/Organizational Factors.

- Neighborhood Association's record of effectively managing activities of a similar, or near similar, nature and/or level of complexity. In instances where very complex activities are proposed consideration of this factor will be weighted.

- Evidence of association's financial accountability. Please indicate prior receipt of Neighborhood Action Match Program funds, the year(s), amount(s), and outstanding balance.
- Evidence of the working relationship of the association with residents of the neighborhood and with businesses and institutions located within the neighborhood.

2. Activity Factors.

- Extent to which match sources, especially any funding match sources, have been realistically identified and committed. There must be at least \$1 of in-kind or cash match for each \$1 Neighborhood Action Match Program grant funds.
- Extent to which the activity provides long term benefit(s).
- Probable effectiveness of the activity in achieving objectives of the program.
- Quality of the management plan and budget.
- Feasibility of the activity proposed given the nature of the problem addressed by the activity and the resources available.

3. Urban County Government Matching Ratio.

- The Review Board shall consider the extent to which a neighborhood association is able to provide voluntary contributions to an activity thus keeping the Urban County Government matching ratio as low as possible. In no case will the ratio of public funds be allowed to exceed 1 to 1.

**Be advised, an application does not guarantee an award recommendation or the full amount of funding requested!**

## **ALLOCATION OF FUNDS**

The maximum amount of Urban County Government matching funds which will be granted to any neighborhood association is \$10,000. Funds will not be allocated for reimbursement of expenses made prior to the award of the grant by the Urban County Council and execution of a contract signed by both the Mayor and the neighborhood association representative. Upon request, any unfunded application shall be returned to the neighborhood association.



## REVIEW BOARD

The Review Board will initially divide the activities proposed into groups, applying the established eligibility and selection criteria strictly to information contained in the application. Activities eligible and satisfying an applicable selection criteria, except for consideration of the matching ratio criteria, will be placed in the group designated as activities for which funding is desired. A second group may be made up of activities, which might reasonably be eligible and/or satisfy applicable selection criteria but further information would be necessary to make that determination. A third group may be made up of activities, which clearly do not satisfy applicable criteria for eligibility and/or selection. (Notice of ineligible activities will be given to the appropriate neighborhood association). Applicants with previously approved projects will be given lower priority and they will not be considered for new funding if substantial progress has not been made on the projects. This includes projects awarded Capital Project Funds by Council Districts or the Neighborhood and Community Sustainability Grant by LFUCG Environmental Quality.

The Review Board will then total the dollars, which would be necessary to fund the first group of applications. Should sufficient funds be available, all of those activities will be recommended to the Mayor and Urban County Council for funding. If available funds are not sufficient to fund all activities in the first group, the Review Board may make its final funding recommendation to the Mayor and Urban County Council deleting some activities. In making decisions resulting in deletion or partial funding of activities, the Review Board should consider the matching ratios of the various activities proposed. (See Selection Criteria).

Should it happen that all activities in the first group be recommended for funding and additional grant funds are still available, the Review Board should request whatever information it needs from neighborhood associations in order to make a clear determination as to whether the questionable activities meet eligibility and applicable selection criteria. A deadline for submitting the requested information which allows the Review Board to meet its deadline for recommendations to the Mayor and Urban County Council should be established in the communication requesting additional information. Based on the additional information received, the Review Board shall make its final recommendations to the Mayor and Urban County Council.

## DISTRIBUTION OF FUNDS AND REPORTING REQUIREMENTS

The grant award shall require a contract between the Urban County Government and the neighborhood association through which each part accepts certain obligations to the other regarding the disbursement and use of funds. **The Urban County Government will not disburse funds for expenses incurred by the Neighborhood Association prior to the execution of a contract signed by both the mayor and an authorized representative of the neighborhood association, as awarded by the Urban County Council.**

The neighborhood associations awarded grants will actually receive funds as they demonstrate readiness to expend funds. The grant awards are not disbursed up front, but on a reimbursement basis.

## Requesting a Payment

Having been awarded and having accepted a Neighborhood Action Match Grant from the Urban County Government, the neighborhood association will be in a position to manage the timely receipt of grant funds from the Urban County Government. The treasurer of the neighborhood association or the designated individual in the grant acceptance documents to receive and be responsible for both government and private funds, will submit a Reimbursement Request to the Division of Grants and Special Programs of the Urban County Government. The request will report on activity progress to the date of request, provide evidence that the neighborhood is in a position to expend the government funds and indicate the total payment requested.

The Reimbursement Request must include a cover letter reporting the activity progress, colored pictures and the reimbursement amount requested, the attached expenditure and match forms, along with invoices, receipts, check copies, etc. and documentation of match. Each request for payment must show that the Neighborhood Association has expended either through cash, in-kind services or materials, an equal amount or more of the reimbursement requested.

The Division of Grants and Special Programs will review each Reimbursement Request, carefully considering the following: reported activity progress compared to scheduled activity progress; reported evidence that the neighborhood is prepared to expend the funds requested in a timely manner and any detailed reports on the expenditure of funds previously received. If the staff determines that the activity progress and the management program of the Neighborhood Association satisfies the terms of the grant award, the approved Reimbursement Request will be forwarded to the Division of Accounting for payment. All payments shall be issued directly to the designated neighborhood association representative. It shall be the responsibility of the neighborhood association to disburse funds to suppliers and contractors.

Should the Division of Grants and Special Programs determine that the activity progress and/or the management program of the neighborhood association do not satisfy the terms of the grant award, the Division shall contact the Neighborhood Association's representative for the information necessary to approve the reimbursement. The Division may also notify the Mayor's Office and appropriate district Council person and arrange a meeting with the Neighborhood Association to seek to resolve the problems and/or issues identified which prevent approval of the Request for Funds.

### 1. Project Completion Report

The neighborhood association must submit a final report within thirty days of completion of the activity. The final report shall: (1) fully describe the projects and the benefits derived from its implementation (2) include colored photographs of the completed project; (3) report on any financial returns on investments realized or expected to be realized as a result of carrying out the activity; (4) describe how any financial returns are proposed to be used and establish a schedule of reports to be submitted to the Urban County Government on actual expenditures of any financial returns. Prior to expenditure of any financial returns, the neighborhood association must secure written approval of the proposed use and of the Schedule of Reports from the Mayor's Office.

## DOCUMENTATION OF GRANT EXPENDITURES

**Email Address**

[illegible]

Signature	Print Name	Date
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# DOCUMENTATION OF N-KIND/DONATION MATCH

**Email Address**

**LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT  
DIVISION OF GRANTS AND SPECIAL PROGRAMS  
NEIGHBORHOOD ACTION MATCH GRANT**

**REIMBURSEMENT REQUEST**

**Neighborhood Association Name:** \_\_\_\_\_

**Contact Person/Title:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Daytime Telephone Number:** \_\_\_\_\_ **Fax Number** \_\_\_\_\_

**Email Address:** \_\_\_\_\_

**Request #:** \_\_\_\_\_ **Project Complete: Yes** \_\_\_\_\_ **No** \_\_\_\_\_

Must attach cover letter reporting the activity progress, the applicable expenditure and match forms, along with invoices, receipts, check copies, pictures, etc. and documentation of match.

<b>PROJECT COSTS</b>	<b>\$ AMOUNTS</b>
<b>Grant Expenditures</b>	<b>\$</b>
<b>In-Kind Service Match</b>	<b>\$</b>
<b>Donated Material Match</b>	<b>\$</b>
<b>TOTAL COSTS</b>	<b>\$</b>
<b>Less: Neighborhood Share/Match (Per Project Budget)</b>	<b>\$</b>
<b>Amount Requested/LFUCG Share (Should equal 50% or Less of TOTAL COSTS)</b>	<b>\$</b>

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

## **SUBMISSION REQUIREMENTS**

**Applications must be received by the deadline of 4:00 p.m. on Thursday, October 31, 2013 at the address listed below. (No emails or faxes.) Late applications will not be considered for funding.** If you should need additional information about the Neighborhood Action Match Program, please contact Vanessa Caise at (859) 258-3070. The completed application and all supporting material should be returned to:

**LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT  
DIVISION OF GRANTS AND SPECIAL PROGRAMS  
200 EAST MAIN STREET 6<sup>TH</sup> FLOOR  
LEXINGTON, KENTUCKY 40507**

**INCOMPLETE APPLICATIONS MAY BE EXCLUDED FROM FUNDING CONSIDERATION!!!  
PLEASE MAKE SURE TO CAREFULLY READ AND FOLLOW ALL INSTRUCTIONS FOR  
COMPLETING APPLICATION.**

**MUST BE IN OUR OFFICE BY 4:00 P.M.  
THURSDAY, OCTOBER 31, 2013**

**NO EMAILS OR FAXES WILL BE ACCEPTED!!**

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT

NEIGHBORHOOD ACTION MATCH PROGRAM APPLICATION AUGUST 2013

1. NEIGHBORHOOD  
ASSOCIATION NAME: \_\_\_\_\_

CONTACT PERSON/TITLE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE NO.: \_\_\_\_\_

EMAIL ADDRESS.: \_\_\_\_\_

2. AMOUNT OF FUNDS REQUESTED: (Must equal Item 6 totals -Please round numbers to the nearest dollar.)

LFUCG	NEIGHBORHOOD ASSOCIATION	TOTAL
\$ _____	\$ _____	\$ _____

3. PROJECTED STARTING DATE: \_\_\_\_\_

4. EXPECTED DATE OF COMPLETION: \_\_\_\_\_

5. **PROJECT NARRATIVE:** (Describe activities in detail to include the priority of activities if more than one activity is involved. Also, attach color pictures of proposed project area.)

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6. **PROJECT BUDGET AND BUDGET NARRATIVE:** (Include specific information on the value of in-kind services and/or in-kind supplies and materials and how the neighborhood association's share will be provided.) Attach written estimates from vendors for all materials and services to be purchased and documentation of in-kind services and donated items .

**NEIGHBORHOOD ACTION MATCH SOURCES OF FUNDING**

PROJECTS (Each line for individual project.)	\$ LFUGG SHARE	NEIGHBORHOOD SHARE			\$ TOTAL
		\$ APPLICANT CASH MATCH	\$ IN-KIND SERVICE MATCH	\$ DONATED MATERIAL MATCH	
(1)					
(2)					
(3)					
(4)					
<b>TOTAL SOURCES:</b>					<b>GRAND TOTAL</b>

**NOTE:** The sum of all sources of revenue must equal the Grand Total and Item 2 amounts on Page 1.

- A. LIST ALL SOURCES OF CASH MATCH: \_\_\_\_\_

- B. SPECIFY NATURE AND HOURS OF LABOR FOR IN-KIND SERVICE MATCH (DONATION LETTERS ARE REQUIRED FOR PROFESSIONAL SERVICES): \_\_\_\_\_

- C. LIST TYPES AND VALUES OF DONATED MATERIALS MATCH SHARE (DONATION LETTERS ARE REQUIRED) : \_\_\_\_\_

- D. ATTACH WRITTEN ESTIMATES FOR WORK TO BE ACCOMPLISHED BY GRANT.



7. **PROJECT MANAGEMENT PLAN:** *(Describe process and time schedule for implementation.)*

8. **NEIGHBORHOOD PARTICIPATION:** *(Describe the process the neighborhood used to select activities, i.e. number of meetings, who was invited, who attended, etc. Attach meeting minutes of decision on project for NAMP funding.)*

[illegible]

9. **FINANCIAL ACCOUNTABILITY:** *(Copy of association's checking account statement, please indicate previous year(s) of NAMP funding/amounts, and any outstanding balance.)*

[illegible]

10. **PROJECT EXPERIENCE:** *(Brief description of past or current neighborhood projects undertaken by the neighborhood association.)*

11. **COMMUNITY OBJECTIVES:** *(Brief description of how the planned activity will meet one or more of the Action Match Program Objectives. See Program Objectives on Pages 1 & 2 of Instructions.)*

12. PLEASE ATTACH SUPPLEMENTAL MATERIAL AS REQUIRED IN THE ANNOUNCEMENT OF FUND AVAILABILITY:

1. *Copy of KY Secretary of State current annual report.*
2. *Copy of KY Secretary of State current registration showing Association is in good standing.*
3. *Meeting minutes documenting the election of current officers.*
4. *Names and addresses of all current association elected officials and members of the governing body.*

13. **OTHER PERTINENT INFORMATION:** *(Use to describe any unusual features of the project not elsewhere described in this application.)*

14. SIGNATURE OF AUTHORIZED OFFICIAL:

\_\_\_\_\_  
Signature (**Original Signature must be submitted with Application.**)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

Applications must be submitted by the deadline of 4:00 p.m. on **Thursday, October 31, 2013. (No emails or faxes.)**

If you should need additional information about the Neighborhood Action Match Program, please contact Vanessa Caise at (859) 258-3070. The completed application and all supporting material should be returned to:

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